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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/811,911	03/19/2001	Rebecca Anne Ansley	Ansley 1	8956

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EXAMINER

SUBRAMANIAN, NARAYANSWAMY

ART UNIT	PAPER NUMBER
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3624

DATE MAILED: 03/23/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 09/811,911	Applicant(s) ANSLEY, REBECCA ANNE	
	Examiner Narayanswamy Subramanian	Art Unit 3624	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 19 March 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-23 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☐ Claim(s) _____ is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☒ Claim(s) 1-23 are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1-23 are pending in this application and are subject to election/restriction as discussed below.

Election/Restrictions

2. Restriction to one of the following inventions is required under 35 U.S.C. 121:

I. Claims 1-11, drawn to a method, comprising: storing, in at least one database within a portable first computing device, financial transaction data and budgetary data; evaluating said transaction data using said budgetary data to determine at least whether a transaction value exceeds a budgetary constraint; displaying, upon a display device, a message indicative of the results of said evaluation; and periodically synchronizing said at least one database of said portable computing device with at least one corresponding database within a second computing device, each of said first and second computing devices cooperating to track expenditures associated with at least one budgetary item, classified in class 705, subclass 35.

II. Claims 12-16, drawn to a method for managing financial outlays of a plurality of transacting entities, each of said transacting entities having associated with it a respective computing device, each of said computing devices including a respective central processing unit, input device, display device and memory, each memory storing at least a transactions database including data relating to financial transactions and a budgetary database including data relating to budgetary constraints applicable to a plurality of transaction types, said method comprising: storing, in the transactions database associated with each transacting entity, respective transaction information provided via said respective input device; evaluating said respective transaction information using respective budgetary database information; and displaying, on said

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respective computing device display, information pertaining to said evaluation; said computing devices being periodically synchronized such that a uniform transactions databases and budgetary databases are updated among said computing devices, said computing devices cooperating to track expenditures associated with at least one budgetary item, classified in class 705, subclass 35.

III. Claims 17-22, drawn to a system for managing financial information, comprising: a plurality of portable computing devices, each of said portable computing devices comprising a central processing unit, an input device and memory, each respective memory including at least a transactions database for storing data relating to financial transactions and a budgetary database for storing data relating to budgetary constraints applicable to a plurality of transaction types, wherein; one of said computing devices operates as a master device and further includes within its memory an accounts database for storing data relating to accessible financial accounts; at least two of said computing devices being periodically synchronized via a communications link there between such that their respective transactions and budgetary databases are updated to include data input via any one of the synchronized computing devices, classified in class 705, subclass 35.

IV. Claim 23, drawn to a financial management apparatus, comprising: at least one portable computing device for storing financial transaction data and budgetary data, and for receiving and evaluating new financial transaction data according to constraints defined using said budgetary data; and a docking station, for receiving said at least one portable computing device and synchronizing financial transaction data and budgetary data within said at least one

portable computing device to financial transaction data and budgetary data stored in a second computing device communicating with said docking station, classified in class 705, subclass 35.

The inventions are distinct, each from the other because of the following reasons:

3. Inventions I and II are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. It is evident from the steps of the two inventions that the inventions are different in scope and utility. A utility of invention I is storing data in at least one database within a portable first computing device and evaluating transaction data using budgetary data to determine at least whether a transaction value exceeds a budgetary constraint which is different from the utility of invention II, which is storing in a transactions database transaction information provided via said respective input device. Invention I can be used in situations that call for a portable computing device whereas Invention II is generally useful for stationery computing devices. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group II, restriction for examination purposes as indicated is proper, even though they are classified in the same class and subclass.

Inventions I and III are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. It is evident from the steps of the two inventions that the inventions are different in scope and utility. A utility of invention I is storing data in at least one database within a portable first computing device and evaluating transaction data using budgetary data to determine at least whether a transaction value exceeds a budgetary constraint which is different

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from the utility of invention III, which is having one of computing devices operating as a master device including within its memory an accounts database for storing data relating to accessible financial accounts. Invention I can work with a system that does not necessarily have a computing device operating as a master device including within its memory an accounts database for storing data relating to accessible financial accounts. Hence the utility of invention I is different from that of invention III. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group III, restriction for examination purposes as indicated is proper, even though they are classified in the same class and subclass.

Inventions I and IV are related as sub combinations disclosed as usable together in a single combination. The sub combinations are distinct from each other if they are shown to be separately usable. It is evident from the steps of the two inventions that the inventions are different in scope and utility. A utility of invention I is storing data in at least one database within a portable first computing device and evaluating transaction data using budgetary data to determine at least whether a transaction value exceeds a budgetary constraint which is different from the utility of invention IV, which is using a docking station, for receiving at least one portable computing device. Invention I can work with an apparatus that does not necessarily have a docking station for receiving at least one portable computing device. Hence the utility of invention I is different from that of invention IV. See MPEP § 806.05(d). Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group IV, restriction for examination purposes as indicated is proper, even though they are classified in the same class and subclass.

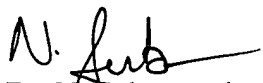
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Similarly other pairing of inventions stated above are related as sub combinations disclosed as usable together in a single combination. These inventions are distinct from each other as can be evident from the definition of the groups described above. Also they require separate searches and hence restriction of these inventions for examination purposes as indicated is proper.

4. Applicant is advised that reply to this requirement to be complete must include an election of the invention to be examined even though the requirement be traversed (37 CFR 1.143).

5. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Dr. Narayanswamy Subramanian whose telephone number is (571) 272-6751. The examiner can normally be reached Monday-Thursday from 8:30 AM to 7:00 PM. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached at (571) 272-6747. The fax number for Formal or Official faxes and Draft to the Patent Office is (571) 273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PMR or Public PAIR. Status information for unpublished applications is available through Private PMR only. For more information about the PMR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).


Dr. N. Subramanian
March 16, 2006